



Department of
**Labor & Workforce
Development**

Case Notes

Why Case Notes?

- Facilitate orderly and systematic case management
- Serves as a permanent record of activities
- A tool to reflect service delivery
- “If it isn’t documented, it didn’t happen”

Importance of Case Notes

- Provides the story behind the need for services.
- Link services to the individual's barriers
- Increases accountability
- Detailed case note will allow:
 - Any authorized staff member to assist the participant without hesitation or repeating previous steps
 - Gaps in services/programs to be identified

Case notes tell a story...

Case notes should be clear, concise, accurate, relative, useful and contain the following information:

- **Who**

- Participant's Name
- Staff Name
- Referral sources

- **Where**

- Location of contact
- Location of service

- **When**

- Date of contact
- Dates of deadlines, check-ins, trainings, classes, etc.

- **What**

- Barriers
- What was discussed
- Participant progress
- Next steps

Entering Case Notes

- **Any time** there is interaction or attempted interaction with a participant (by phone, email, in person, etc.)
- When there is no interaction with a participant when the interaction was expected (i.e. they miss an appointment).
- In a **timely** fashion

Case Notes Do's & Don'ts

Do:

- **Be professional** - Avoid, street language, clichés, or jargon. Correct capitalization and punctuation.
- **Reflect facts** – Avoid inserting personal feelings into case notes.

Don't:

- **Use acronyms** – Spell everything out
- **Include sensitive details** – Medical information should be general

Scenario 1

Your supervisor receives a call from a participant complaining that they missed getting their returning student paperwork in to you in time because they were not told that it had be returned to you by a certain date. As a result, they were not able to receive any financial assistance for the current term.

Scenario 1: Bad Case Note

“Emailed Ms. Jones to remind her that she needed to bring me her returning student paperwork.”

Scenario 1: Good Case Note

“Emailed returning student paperwork to Ms. Jones to email address provided by participant (iminschool@yahoo.com) and also left voice mail on 8/1/18, at 615-789-6547 to inform her that the completed returning student paperwork must be returned to me (Carla Garrett) by 4:30 pm on 8/17/18, to ensure funding for the upcoming fall term. Email sent states that she may return the paperwork by email to (carla.garrett@fys.com) or in person at 123 Wilson Ave. Spoke with Ms. Scott, Tennessee State University financial aid coordinator, by phone to let her know that paperwork has been provided to student to complete.”

Scenario 2

Contact Date:	2/21/2018
Create Date:	2/26/2018
Program:	WIOA
Subject:	Enrollment/ Eligibility
Contact Type:	N/A
Note:	Samantha requested WIOA services for WEX and training. Samantha [REDACTED] is eligible as an OSY based on verification of her receipt of SNAP benefits and verification of her status as a Pregnant/Parenting Youth. WIOA will start services February 28, 2018. Samantha will do WEX at [REDACTED]. She is also starting the CNA program at TCAT [REDACTED]. WIOA and SNAP will split the cost. SNAP will pay for Tuition and Fees, and WIOA OSY will pay for books, supplies, and transportation.

Could be better by:

- Referencing how Samantha came to request services
 - Samantha attended recruiting event hosted by Helping Hands Org. on 02/18/2018
- Spelling out WEX – Work Experience
- Specific dates for activities
- Next steps for Samantha

While Writing Case Notes...

- Avoid words that label the participant
 - (Abnormal, disturbed, resistant, unfit, etc.)
- Use words that addresses actions
 - (Focused, counseled, recommended, urged, etc.)
- Omit details of participant's intimate lives that do not have an impact on the plan
 - (Just because they tell you, doesn't mean you have to write it)
- Do not write so cryptic that no one knows what you are writing

Recap

- Include the Who, What, Where, When
- Write in a style that is factual and objective.
- Be specific and to the point

You never know who will be reading the case notes!

Let's Practice: Sensitive Information

Subject: Window Snip RESEA Orientation

Partner Program: NA

Staff Member: Gayle Age

Office Location: French Landing

LWIA: LWDA 09

Notes:

Claimant reports that she suffered a major heart attack and is on medication that affects her ability to process information. Additionally she has issues with fibromyalgia and is unable to work due to the joint pain associated with the condition.

Issues:

- How was this information collected?
- What services were actually offered during the orientation
- Medical information is a violation of HIPAA

Case Note Review 1

“Ms. Smith attended her RESEA orientation on 10/17/18. Explanation of RESEA, AJC services, and Labor Market information provided. She reports that she is currently under a doctor’s care for a medical condition, and does not know if she can sustain full time employment at this time. She is currently needing assistance with basic necessities such as food and housing, and lacks training to obtain employment. Referred to SNAP E&T for assistance with supportive services, and SCSEP to determine if she is eligible for services through those programs. Ms. Smith was able to meet with Title I representative June Carter after her RESEA orientation. RESEA eligibility review form completed and emailed to central office to determine possible eligibility issues.”

Case Note Review 2

Case Note ID:	51776472		
Create Date:	10/19/2018		
Case Note Type:	Case Note	Last Edit Date/Time:	10/19/2018 7:54:02 AM
Contact Date:	10/19/2018		
Contact Type:			
Program:	Trade Adjustment Assistance (TAA)	Application ID:	NA
Subject:	Benchmark	Partner Program:	NA
Staff Member:	Gayle Age	Office Location:	French Landing
LWIA:	LWDA 09		
Notes:	Benchmark complete		

- Which benchmark?
- What training is the participant attending?
- How are they progressing?

Case Note Review 2

“John Smith came in on 10/9/18 to provide his grades for mid-term benchmark. Documentation uploaded into Jobs4tn. He is progressing well and is on track to complete training at TCAT-Jackson in June of 2019 with his CNC Machining certificate.”

Case Note Review 3

Case Note ID: **51777390**
Create Date: **10/19/2018**
Case Note Type: **Case Note** Last Edit Date/Time: **10/19/2018 10:41:24 AM**
Contact Date: **10/19/2018**
Contact Type:
Program: **SNAP Employment and Training** Application ID: **NA**
Subject: **Orientation** Partner Program: **NA**
Staff Member: **Gayle Age** Office Location: **French Landing**
LWIA: **LWDA 09**

Notes:

Attended orientation and assessment and will be checking into training options

- Who is the participant?
- What was the result of the assessment?
- What referrals were made?

Case Note Review 3

Mr. Jones came in today for his scheduled SNAP appointment at 9 am. He stated that he does have his GED and a certificate in Serv-Safe. He has had 2-4 employers in the past 5 years and is currently working part time for Metro, temp agency, approximately 24 hours a week at \$8 an hour. He started work 5/26/18 and is supposed to work every Saturday and Sunday. The job generally calls for him to work two twelve hour days, however he does not always get that many hours, as workers are sent home when the work is completed. His main goal is to become employed full time so that he can become self sufficient. He is scheduled for the Resume Workshop on 6/8/18 at 2 pm, Interview Strategy--Career Ready 101 on 6/15/18 at 10 am, Interviewing Workshop on 6/20/18 at 1:30 pm and Job Searching Workshop on 6/28/18 at 9 am. He is due back for a scheduled follow up appointment on 6/15/18 at 9 am and 6/29/18 at 9am. DHS notification sent.

Case Notes for Case Managing

➤ **Create Date: 10/18/2018**

Contact Date: 05/01/2018

Ran into Ms. Johnson in the grocery store. She said she is still looking for a job.

➤ **Create Date: 10/18/2018**

Contact Date: 06/13/2018

My son spoke to Ms. Johnson's son at high school yesterday and he said she is still looking for a job.

➤ **Create Date: 10/18/2018**

Contact Date: 07/16/2018

Saw Ms. Johnson in Walmart – she reports that her car quit working and she is still needing to find a job.

➤ **Create Date: 10/18/2018**

Contact Date: 08/30/2018

Ms. Johnson's pastor told me that she is still job seeking and they are assisting her with food as she has fallen on harder times.

➤ **Create Date: 10/18/2018**

Contact Date: 09/17/2018

Attempted to call Ms. Johnson – Could not leave voice mail

➤ **Create Date: 10/18/2018**

Contact Date: 10/16/2018

Attempted to call Ms. Johnson, but her phone has been disconnected. Will continue to try to contact her to find out if she has gone to work.

Unacceptable Case Notes

- Why are the previous case notes not acceptable?
 - Contact with the customer and family members, no contact by case manager
 - Pastor indicates Ms. Johnson needs supportive services assistance, no contact by case manager
 - Progression of case notes indicates an increasing disconnection from actual contact with the customer.

Case Note Review

Ultimately Case Notes should:

- Provide sequential tracking and reporting of participant contact and progress
- Link services to the participant's deficiencies and barriers
- Provide a story behind revised employment plans
- Increase accountability to allow for oversight and monitoring
- Provide a clear picture so a participant can be served by all staff if case manager changes must occur



